

FOR INFORMATIONAL PURPOSES ONLY

Periodic Certification - Registered Deemed-Compliant FFI – Non-Reporting Member of a Participating FFI Group

Identifying Information

1. The periodic certification can only be completed by the Responsible Officer (RO). Confirm the RO information and make updates as needed. Any updates made will be saved to your registration account.¹
2. Describe the registered deemed-compliant FFI's business (or each line of business):²

Select the applicable option for the periodic certification for the period of <start date> to <end date>:

- I am completing the periodic certification of compliance.³
 I am unable to complete a periodic certification at this time.⁴
 I am not required to complete a periodic certification for this certification period.⁵

Expanded Affiliated Group of Non-Reporting Members of a Participating FFI Group

1. This certification is being provided collectively for the registered deemed-compliant FFI's expanded affiliated group.⁶
2. Select each member FI that is included in this certification. You must include at least one member in the certification.⁷

PERIODIC CERTIFICATION – CERTIFICATION OF COMPLIANCE WITH THE REQUIREMENTS OF THE REGISTERED DEEMED-COMPLIANT FFI CATEGORY – NON-REPORTING MEMBER OF A PARTICIPATING FFI GROUP⁸

I, the responsible officer of the registered deemed-compliant FFI, certify that:

1. By the later of June 30, 2014, or the date it registers as a deemed-compliant FFI and is issued a GIIN, the FFI implements policies and procedures to ensure that within six months of opening a U.S. account or an account held by a recalcitrant account holder or a nonparticipating FFI, the

¹ The RO information to be confirmed includes the name of the RO, address and other contact information. This section will be pre-populated with all the registration data for the RO fields (question 10). Any changes made to the RO information will be saved in the registration account.

² Field type: Text box (1-1000 characters).

³ If this statement is selected, continue with questions.

⁴ If this statement is selected, the user will need to provide a reason/explanation as to why you are unable to certify at this time. Field type: Text box (1-2,500 characters).

⁵ If this statement is selected, the user will need to provide a reason/explanation as to why you are not required to certify. Field type: Text box (1-2,500 characters).

⁶ Field type: Radio button (values: Yes, No). If No is selected, continue with certification questions. If Yes is selected, display question 2. Note: This question will only display if filer is a lead. If there are no eligible members, it will display an error message if yes is selected.

⁷ Eligible members will be displayed as a prefilled list from the FI's registration.

⁸ Questions 1 - 3: Field type: Radio button (values: Yes, No).

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FFI either transfers such account to an affiliate that is a participating FFI, reporting Model 1 FFI, or U.S. financial institution, closes the account, or becomes a participating FFI.

2. The FFI reviews its accounts that were opened prior to the time it implements the required policies and procedures, using the procedures applicable to pre-existing accounts of participating FFIs, to identify any U.S. account or account held by a nonparticipating FFI. Within six months of the identification of any account described in this paragraph, the FFI transfers the account to an affiliate that is a participating FFI, reporting Model 1 FFI, or U.S. financial institution, closes the account, or becomes a participating FFI.
3. By the later of June 30, 2014, or the date it registers as a deemed-compliant FFI and is issued a GIIN, the FFI implements policies and procedures to ensure that it identifies any account that becomes a U.S. account or an account held by a recalcitrant account holder or a nonparticipating FFI due to a change in circumstances. Within six months of the date on which the FFI first has knowledge or reason to know of the change in the account holder's chapter 4 status, the FFI transfers any such account to an affiliate that is a participating FFI, reporting Model 1 FFI, or U.S. financial institution, closes the account, or becomes a participating FFI.